

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**UTILITY APPLICATION AND APPLICATION FEE TRANSMITTAL (1.53(b))**

ASSISTANT COMMISSIONER FOR PATENTS  
Box Patent Application  
Washington, DC 20231

Sir:

Transmitted herewith for filing is the patent application of:

Named Inventor(s) and Address(es): Christopher Keith  
105 Hudson St. Apt. 5S, New York, NY 10013

For: AUTOMATED PREFERENCES FOR MARKET PARTICIPANTS

Enclosed are:

- ☒ 122 pages of specification, 1 page of Abstract, 2 pages of claims 1-22
- ☒ 91 sheets of drawings ☒ formal ☐ informal
- ☒ 1 pages of Declaration and Power of Attorney
  - ☐ unsigned ☒ newly executed ☐ copy from prior application
  - ☐ Deletion of inventors including Signed Statement under 37 C.F.R. § 1.63(d)(2)
- ☐ Claim for Priority
- ☐ Certified copy of Priority Documents ☐ English translation
- ☒ Request for Non-publication and Certification Under 35 U.S.C. 122(b)(2)(B)(i)
- ☐ Information Disclosure Statement ☐ copy of        cited references
  - ☐ copy of PTO-1449 filed in parent application serial no.
- ☐ Preliminary Amendment
- ☒ Return receipt postcard
- ☒ Assignment papers (assignment cover sheet and assignment documents)
  - ☒ a credit card authorization in the amount of \$40.00 for recording the Assignment
  - ☐ Assignment papers filed in parent application serial no.
  - ☐ Certification of chain of title pursuant to 37 C.F.R. § 3.73(b)
- ☒ This is a ☐ continuation ☐ divisional ☒ continuation-in-part (CIP)
  - of prior application serial no. 09/546,031
  - ☐ Cancel in this application original claims        of the parent application before calculating the filing fee (at least one original independent claim must be retained for filing purposes).
  - ☐ A Preliminary Amendment is enclosed, adding claims numbered consecutively after the highest numbered original claim in the prior application.
- ☒ The status of the parent application is as follows:
  - ☐ A Petition For Extension of Time and proper Fee has been or is being filed in the parent application to extend the term for action in the parent application until                     .
  - ☐ A copy of the Petition For Extension of Time in the co-pending parent application is attached.
  - ☒ No Petition For Extension of Time is necessary in the co-pending parent application.
- ☐ Please abandon the parent application at a time while the parent application is pending or at a time when the Petition For Extension of Time in that application is granted and while this application is pending or has been granted a filing date, so as to make the application co-pending.
  - ☐ Transfer the drawings from the parent application to this application.
- ☐ Amend the specification by inserting before the first line the sentence:
  - This is a ☐ continuation ☐ divisional ☐ continuation-in-part (CIP) of co-pending application serial no.                      filed                     .

Jc713 U.S. PTO  
09/802223  
03/08/01

PATENT  
0505-4014  
Express Mail Label No.  
EK67747142745

**CALCULATION OF APPLICATION FEE (For a Small Entity)**

	<b>No. Filed</b>	<b>No. Included in Basic Fee</b>	<b>No. Extra</b>	<b>Rate per Claim</b>	<b>TOTAL</b>
Basic Fee					<b>355</b>
Total Claims	22	<b>20</b>	2	<b>9</b>	18
Independent Claims	3	<b>3</b>		<b>40</b>	
Multiple Dependent Claims				<b>135</b>	
TOTAL					373


☒ [X] Small Entity Status is claimed. Reduced fees under 37 C.F.R. § 1.9(f) are paid herewith.

☐ [ ] A check in the amount of \$\_\_\_\_\_ in payment of the application filing fee is attached.

☒ [X] A Credit Card Payment Form authorizing payment of \$ 373.00 is attached.

Respectfully submitted,

Date: March 8, 2001

  
Brenda Pomerance  
Reg. No. 36,894

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Christopher KEITH  
Filed : Herewith  
Group Art Unit:  
Examiner :  
For : AUTOMATED PREFERENCES FOR MARKET  
PARTICIPANTS



**EXPRESS MAIL CERTIFICATE**

Express Mail Label No: EK677471427US

Date of Deposit: March 8, 2001

I hereby certify that the following attached paper(s) and/or fee

1. Application including 122 pg. specification, 1 pg. Abstract, 2 pg. claims 1-22
2. 91 sheets drawings, formal
3. Declaration, signed
4. Assignment, signed
5. Assignment Recordation Cover Sheet
6. Application Fee Transmittal
7. Credit card authorization form for \$ 373 (application filing)
8. Credit card authorization form for \$40.00 (assignment recordation)
9. Request for Non-publication under 35 U.S.C. 122(b)
10. Return receipt postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and are addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

Brenda Pomerance  
Brenda Pomerance

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212 245-3940

<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor	Christopher KEITH
	Title	AUTOMATED PREFERENCES FOR MARKET PARTICIPANTS
	Atty Docket Number	0505-4014

je713 U.S. PTO  
09/802223



I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

March 8, 2001  
Date

Brenda Pomerance  
Signature

Brenda Pomerance  
Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this non-publication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**